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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Thomas, Lawrence J.

Serial No.: 09/845,511

Filed: April 30, 2001

Entitled: PLASMID-BASED VACCINE FOR TREATING ATHEROSCLEROSIS

Examiner: not yet assigned

Art Unit: 1614

Attorney Docket No.: TCS-414.2P US-1

Assistant Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.56, 1.97 AND 1.98**

Dear Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicants submit this Information Disclosure Statement pursuant to 37 C.F.R. §§ 1.97 and 1.98 in the above-identified application for consideration by the Patent Office. A listing of the cited documents is also enclosed, as well as, for the Examiner's convenience, copies of the documents in the list. Pursuant to 37 C.F.R. § 1.97(b)(3), because this Statement is being submitted before the first Office Action on the merits, no fee is required.

**US Patents**

- US 5,242,687; issue date 07 September 1993; Tykocinski et al.
- US 5,338,829; issue date 16 August 1994; Weiner et al.
- US 5,705,388; issue date 06 January 1998; Couture et al.

**Foreign Patent Applications**

- EPO, Publication No. EP 0343460 A2. Publication Date 29 November 1989.
- PCT, Publication No. WO 90/15627. Publication Date 27 December 1990.
- PCT, Publication No. WO 92/10203. Publication Date 25 June 1992.
- PCT, Publication No. WO 93/11782. Publication Date 24 June 1993.
- PCT, Publication No. WO 93/23076. Publication Date 25 November 1993.
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- PCT, Publication No. WO 93/11782. Publication Date 24 June 1993.  
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Applicants do not intend to represent that any of the documents submitted herein is material prior art to this invention or that the list represents an exhaustive search of documents related to this invention.

Applicants respectfully request that the documents submitted herein be considered and made of record in this application.

Respectfully submitted,

*Thomas R. Berka*

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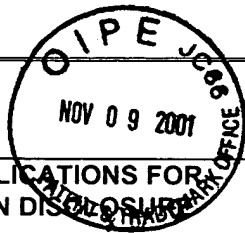
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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	APPLICANT Thomas, Lawrence J.	
(Use several sheets if necessary)	FILING DATE April 30, 2001	GROUP (not yet assigned)

**REFERENCE DESIGNATION U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
AA	US 5,242,687	09/07/93	Tykocinski et al.			
AB	US 5,338,829	08/16/94	Weiner et al.			
AC	US 5,705,388	01/06/98	Couture et al.			

**FOREIGN PATENT DOCUMENTS**

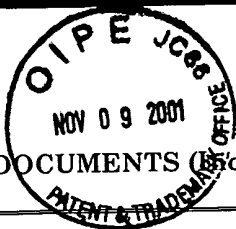
	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION YES NO	
AD	EP 0 343 460 A2	11/29/89		C07K	7/08		
AE	WO 90/15627	12/27/90		A61K	47/48		
AF	WO 92/10203	06/25/92		A61K	37/22		
AG	WO 93/11782	06/24/93		A61K	37/00		
AH	WO 93/23076	11/25/93		A61K	39/00		
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AM	Agellon et al., <i>J. Biol. Chem.</i> , 266: 10796 - 10801 (1991)
AN	Aitken et al., <i>Brit. Med. Bull.</i> , 49: 88 - 99 (1993)
AO	Albers et al., <i>Arteriosclerosis</i> , 4: 49-58 (1984)
AP	Alexander et al., <i>Immunity</i> , 1: 751-761 (1994)
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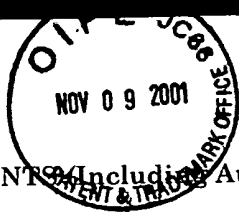
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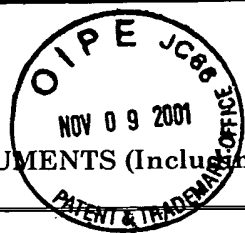
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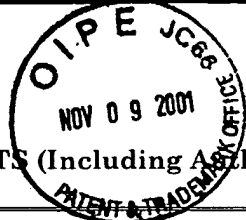


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CW	Pruitt et al., <i>J. Surg. Res.</i> , 50: 350-355 (1991) ✓
CX	Quig et al., <i>Ann. Rev. Nutr.</i> , 10: 169-193 (1990) ✓
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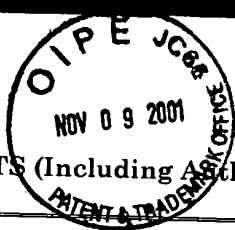
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DO	<u>The Merck Manual of Diagnosis and Therapy</u> , 16 <sup>th</sup> ed., (Merck & Company Inc., Rahway, New Jersey, 1992), pp. 22-23 (referring to infection prevention), pp. 114-115 (referring to bacterial diseases), pp. 1944-1947 (referring to health management of neonates, infants, and children).
DP	Travis, <i>Science</i> , 262: 1974-1975 (1993) ✓
DQ	Valmori et al., <i>J. Immunol.</i> , 149: 717-721 (1992) ✓
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc).

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DR	Wang et al., <i>J. Biol. Chem.</i> , 270: 612-618 (1995) ✓
DS	Wang et al., <i>Science</i> , 254: 285-288 (1991) ✓
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DX	Wedrychowski et al., <i>Biotechnology</i> , 11(4): 486-489 (1993) ✓
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EC	Zannis et al., "Genetic mutations affecting human lipoproteins, their receptors, and their enzymes", <i>Advances in Human Genetics</i> , Vol. 21, pp. 145-319 (Plenum Press, New York, NY., 1993) ✓
ED	Zegers et al., <i>Eur. J. Immunol.</i> , 23: 630-634 (1993) ✓
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